# ARIZONA DEPARTMENT OF TRANSPORTATION ENGINEERING CONSULTANTS SECTION STATEMENT OF QUALIFICATIONS PACKAGE CONTRACT NUMBER: 2015-013

I-11 and INTERMOUNTAIN WEST CORRIDOR
TIER 1 ENVIRONMENTAL IMPACT STATEMENT

NOGALES TO WICKENBURG, ARIZONA



# STATEMENT OF QUALIFICATIONS PACKAGE CONTRACT NUMBER: 2015-013 I-11 AND INTERMOUNTAIN WEST CORRIDOR TIER 1 ENVIRONMENTAL IMPACT STATEMENT NOGALES TO WICKENBURG, ARIZONA ADOT PROJECT NUMBER: M5180 01P

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### **SECTION I - PUBLIC ADVERTISEMENT**

# FOR PUBLICATION <u>Wednesday</u>, <u>March 18, 2015</u> and <u>Wednesday</u>, <u>March 25, 2015</u> IN THE ARIZONA REPUBLIC NEWSPAPER

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANTS SECTION/PUBLIC NOTICE FOR I-11 AND INTERMOUNTAIN WEST CORRIDOR TIER 1 ENVIRONMENTAL IMPACT STATEMENT between Nogales and Wickenburg, Arizona/CONTRACT NUMBER: 2015-013/ADOT PROJECT NUMBER: M5180 01P/Statements Due: April 15, 2015, 2:00 P.M. Arizona Time/ ADOT is accepting Statement of Qualifications (SOQs) from Consultants to provide a Federal Highway Administration (FHWA) Tier 1 EIS and an Alternative Selection Report (ASR) /The SOQ Package for Contract 2015-003 is available on the ECS website (http://www.azdot.gov/business/engineering-consultants/advertisements/current-advertisements) ADOT is an Affirmative Action/Equal Opportunity Employer.

### SECTION II - INFORMATION COPY TO CONSULTANTS

REQUEST FOR STATEMENTS OF QUALIFICATIONS
FOR FIRMS INTERESTED IN
I-11 AND INTERMOUNTAIN WEST CORRIDOR
TIER 1 ENVIRONMENTAL IMPACT STATEMENT
NOGALES TO WICKENBURG, ARIZONA
ECS CONTRACT NUMBER: 2015-013
ADOT PROJECT NUMBER: M5180 01P

Statements Due: April 15, 2015, 2:00 P.M. Arizona Time

All format requirements, submittal guidelines, instructions and documentation submission contained in this SOQ Package are for the ECS Contract Number and ADOT Project Number referenced above. SOQ submittals failing to follow the format, online submittal guidelines or any other instructions outlined in this SOQ Package <a href="mailto:shallower.google.com">shall be rejected</a>.

ECS reserves the right to reject any and all SOQs, cancel the advertisement, negotiations or contract at any time in the best interest of the State.

SOQs will be accepted from any prime Consultant prequalified through ECS and properly registered with the <u>Arizona Board of Technical Registration</u> (BTR) at the time the SOQ is submitted to ECS. This contract does not require a Principal or Officer of the Firm responsible for this contract that is properly registered with the BTR at the time of SOQ submittal. It is the prime Consultant's responsibility to verify that all Subconsultants, in the SOQ submittal, have the proper Arizona licenses and/or registrations, and DBE certification if applicable, for the services to be performed under this contract.

Consultants downloading SOQ proposals are required to register to receive notifications of SOQ Amendments, deadline changes or any other contract information. Any Amendments issued as part of an SOQ Package shall be signed and included in the SOQ submittal. Failure to do so shall result in rejection of the proposal. See **Section IV** for further instruction.

The selected firm shall provide a Federal Highway Administration (FHWA) Tier 1 Environmental Impact Statement (EIS) and Conceptual Engineering via an Alternative Selection Report (ASR), that will be structured to select a preferred corridor alignment (approximately 2,000 feet in width) and preferred modal choice for accommodating future traffic needs from Nogales to Wickenburg, Arizona as recommended in the final Interstate 11 and Intermountain West Corridor Study (I-11 IWCS).

This work will comply with the requirements of the National Environmental Policy Act (NEPA); federal law and executive orders; applicable federal regulations included in the FHWA Federal-Aid Policy Guide and applicable state laws and regulations.

The EIS and ASR (the Project) will include a NEPA Scoping process with development of a range of alternatives and a Purpose and Need, moving through a progressive reduction in the number of alternatives based on an agreed upon evaluation methodology, leading to the identification of a preferred corridor alignment and modal choice that will be the subject of a Tier 1 EIS.

Other services may include the development of an Agency Outreach and Involvement Plan, performing economic analysis of various corridor alignment alternatives, and reconciling traffic modeling figures identified in the Arizona Statewide Travel Demand Model with appropriate regional models.

ECS may select one or more firms from among those submitting SOQ for further consideration.

### **Definitions**

### May

Indicates something that is not mandatory but is permissible.

### Must

Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.

### Shall

Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.

### Should

Indicates something that is recommended but not mandatory. If the Consultant fails to provide recommended information, ADOT may, at its sole option, ask the Consultant to provide the information or evaluate the SOQ without the information.

### Will

Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.

Effective the date of the first public advertisement of this contract, no further contact is allowed with <u>any</u> ADOT, Maricopa Association of Governments (MAG), Pima Association of Governments (PAG), Sun Corridor Metropolitan Planning Organization (SCMPO), Federal Highway Administration (FHWA) and Bureau of Land Management (BLM) personnel concerning this project. Any questions of an administrative or contractual nature that shall be submitted in writing to the attention of the assigned contact at the address below. This restriction is in effect until selection has been announced.

Questions, in writing, shall be received until <u>April 8, 2015 at 2:00 P.M. (Arizona time</u>). No further questions shall be accepted after the time specified. All Consultants will be notified of any Consultant's request for information and ECS' response(s) to the question(s). Information shall be posted on the ECS website and emailed to those firms that have registered for project updates. Any violation of the contact restrictions may be grounds for rejection of the Prime Consultant's SOQ.

Greg Wristen, Design Contracts Unit Manager Engineering Consultants Section (ECS)
Email: gwristen@azdot.gov

Submit SOQs expressing interest in the above referenced project following ECS Online SOQ Submittal Guidelines found in **Section XI** until 2:00 P.M. Arizona Time on the date shown above. No SOQs shall be accepted after the date and time specified. Hard copies of SOQs shall not be accepted. Oral interviews may be held in the selection process.

Submission of the SOQ requires completing the online *Consultant Information Page* (CIP). <u>Failure to completely and correctly fill</u> <u>out all sections of the CIP shall result in rejection of the SOQ.</u> To complete the CIP, begin by selecting the prime Consultant's name and appropriate location/address from which the contract will be administered from the Consultant Company dropdown list.

- If the prime Consultant's name is not listed in the *Consultant Firm* dropdown list, the Consultant is <u>not</u> currently prequalified with ECS and the Consultant cannot submit SOQ. Consultants not currently prequalified with ECS for 2014 2015 timeframe who intend to submit an SOQ for this proposed contract shall successfully submit the Prequalification application to ECS no later than <u>April 1, 2015 at 2:00 P.M. Arizona time</u>. The Prequalification application is found on the ECS website (<a href="http://www.azdot.gov/highways/ecs/prequalification 2014-15.asp">http://www.azdot.gov/highways/ecs/prequalification 2014-15.asp</a>). Any submissions for Prequalification with ECS received <u>after April 1, 2015 at 2:00 P.M. Arizona time are not guaranteed</u> to be reviewed by the SOQ due date. For questions or further clarification regarding the ECS Prequalification, contact the ECS Front Desk at (602) 712-7525.
- If the prime Consultant is prequalified, the prime Consultant's contact person, address and phone number on file with ECS will automatically populate in the appropriate fields. Verify all information and update as needed. The Contact Person, Email Address, Telephone Number and Fax Number fields may be updated manually but the address must be updated by ECS by contacting the ECS Front Desk at (602) 712-7525. Allow two (2) business days for the address information to be changed in eCMS. Check the ADOT Certified DBE Firm box if your firm is a certified Disadvantaged Business Enterprise (DBE).
- Add each Subconsultant of the Project Team by clicking on the Add New Sub-Consultant link and completing the requested information. Select all Subconsultants in the prime Consultant's SOQ expected to work on the project and verify the location of each Subconsultant's office. Select the Type of Work the Subconsultant will perform on the project from the dropdown list. Check the ADOT Certified DBE Firm box if the Subconsultant is a certified DBE and provide the DBE Certification number, if any. DBE Consultants and Subconsultants must be certified for the services proposed in the SOQ submittal. eCMS does not track the DBEs used as direct expense vendors; therefore, do not enter the DBE direct expense vendors into eCMS as Subconsultants.

• If a Subconsultant's name is not in the eCMS database, contact ECS at (602) 712-7525. Allow two (2) business days to have the Subconsultant added to eCMS. Subconsultant information can be edited or deleted by the user at any time until the proposal is submitted.

To standardize the Labor Classifications ADOT allows for all projects, the list of labor classifications anticipated to be used for the proposed contract is listed on Attachment A in the Scope of Work.

The selected Firm(s) may be required to attend a Pre-Negotiation meeting. The selected Firm(s) shall bear the cost of their time.

The successful SOQ proposal(s) may be reviewed after contract award. Any digital reproduction including but not limited to copying and photographing of the winning SOQ(s) is **not permitted**. If the SOQ was submitted via CRYPTOCards, debrief information will be available in eCMS after contract award.

Within two (2) weeks after receiving notice of selection, the selected prime Consultant(s) and its Subconsultant(s) shall submit financial documentation to ADOT Office of Audit & Analysis (A&A) per Section XIV of the SOQ Package. If the selected prime Consultant(s) and its Subconsultant(s) have recently submitted their most current financial documents to A&A, contact A&A at (602) 712-7042 to inquire if you need to resubmit financial documents. Additionally, the selected prime Consultant(s) and its Subconsultant(s) are required to comply with ADOT Advance Agreement Guideline per Section XIV of the SOQ Package.

Prime Consultants and its Subconsultants that propose on an overhead basis shall have their Schedule of Indirect Costs and Financial Statements available for review by A&A within six (6) months of the completion of the Consultant's preceding fiscal year-end (FYE). For example, a Consultant with December 31, 2013, FYE shall have the required information available no later than June 30, 2014. Noncompliance with this requirement shall be considered failed negotiations unless waived in writing by the State.

The items outlined above represent the information needed to begin the audit review process. Additional information and supporting documentation may be requested. Failure to comply with audit requirements within the established timeframes may be considered failed negotiations. Questions regarding ADOT's audit requirements or related information shall be directed to A&A at (602) 712-7042.

All selected prime Consultant(s) shall be required to establish a local office in the State of Arizona **prior** to the Notice to Proceed (NTP) date if one does not already exist.

Professional liability insurance is required.

The boilerplates for all ECS contracts are non-negotiable.

Partnerships (joint-ventures) are not allowed.

All materials submitted in accordance with this solicitation become the property of the State of Arizona.

Inclusion of cost, work-hour and/or plan-sheet estimates in the SOQ is not allowed.

ADOT is an Affirmative Action/Equal Opportunity Employer

## SECTION III - DISADVANTAGED BUSINESS ENTERPRISES PROGRAM ECS CONTRACT NUMBER: 2015-013

### **Disadvantaged Business Enterprises**

ADOT, also referred to as "Department" or "State," has established a Disadvantaged Business Enterprises (DBE) Program in accordance with the regulations of the U.S. Department of Transportation (USDOT), 49 CFR Part 26. ADOT has received federal financial assistance from the USDOT and as a condition of receiving this assistance, ADOT has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of ADOT to ensure that DBEs, as defined in 49 CFR Part 26, have an equal opportunity to receive and participate in federally-funded contracts. It is also ADOT's policy to:

- 1. Ensure nondiscrimination in the award and administration of federally-funded contracts;
- 2. Create a level playing field on which DBEs can compete fairly for federally-funded contracts;
- 3. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
- 4. Ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are counted as DBEs;
- 5. Help remove barriers to the participation of DBEs in federally-funded contracts;
- 6. Assist in the development of firms that can compete successfully in the marketplace; and
- 7. It is also ADOT's policy to facilitate and encourage participation by Small Business Concerns (SBCs) in ADOT contracts. ADOT encourages Consultants to take reasonable steps to eliminate obstacles to SBC's participation and to utilize SBCs in performing contracts.

The Federal regulations require a recipient of federal highway funding to implement an approved DBE Program that consists of establishing a statewide DBE utilization goal and using race-neutral means to the maximum feasible extent to achieve the goal. Where race-neutral measures prove inadequate to achieve the goal, the State is required to use race-conscious measures, such as a DBE participation goal for individual contracts.

The Department has established an overall annual goal for DBE participation on Federal-aid contracts. The Department intends for the goal to be met with a combination of race-conscious efforts and race-neutral efforts. Race-conscious participation occurs where the Consultant uses a percentage of DBEs to meet a contract-specified goal. Race-neutral efforts are those that are, or can be, used to assist all small businesses or increase opportunities for all small businesses.

ADOT is required to collect data on all DBE participation to report to FHWA, whether or not there is a stated DBE goal on the contract. Prime Consultants should refer to Sections 4.47 and 4.48 of the contract provisions for information on DBE reporting requirements. Accurate reporting is needed to track DBE participation.

A DBE goal of 14.71% has been established on this contract. Prime Consultants are encouraged to obtain DBE participation above and beyond the goal on this contract. The DBE goal attainment will be monitored on a Contract Modification by Contract Modification basis to help ensure that the overall DBE goal is met on the contract.

Prime Consultants shall indicate their commitment to meeting the contract DBE goal by signing the SOQ Proposal Certification Form, found in **Section XII**, and by completing the DBE Information Section in eCMS' Consultant Information Page when submitting the SOQ.

DBE Consultants and Subconsultants must be certified for the services proposed in the SOQ submittal. DBE Consultants and Subconsultants performing work for services for which they are not certified will not be counted towards the DBE goal. Furthermore, proposing DBE Consultant, or Small Business Concern (SBC) Consultant or Subconsultants to provide services they are not certified in may negatively impact the prime Consultant's score. To confirm the firm's DBE certification and work categories the firm is certified to perform, visit ADOT Arizona Unified Transportation Registration and Certification System (AZ UTRACS) or contact ADOT Business Engagement and Compliance Office (BECO) at (602) 712-7761.

Prime Consultants are **required to register** their firms in <u>AZ UTRACS</u>. Prime Consultants shall specify the anticipated role of <u>all</u> certified DBE firms who will participate as Subconsultants in this contract and shall be noted in eCMS' *Consultant Information Page* (CIP), *Subconsultants* subsection. The DBE Subconsultants' experience and their role in the contract shall also be explained in SOQ Section V, Part D (Evaluation Criteria), 3.b. (Relevant firm experience of Key Subconsultants). **eCMS does** <u>not</u> track the DBEs used as direct expense vendors; therefore, do <u>not</u> enter the DBE direct expense vendors into eCMS as Subconsultants when submitting SOQs.

The selected prime Consultants shall submit the *DBE Participation Affidavit*, found in **Section VII**, with <u>initial</u> Cost Proposal certifying the DBE goal shall be met on the contract and each Contract Modification or Good Faith Efforts shall be demonstrated.

After the contract has been executed, the selected prime Consultant(s) is/are required to submit the following documents with <u>every</u> Contract Modification:

- 1. Certification that the prime Consultant shall meet or exceed the established DBE goal stated in the SOQ and contract by providing the following documents:
  - a. A *Consultant Intended DBE Participation Affidavit*, if the prime Consultant is a DBE firm. The form is provided in **Section VII** of the SOQ Package and shall be submitted with every Contract Modification.

OR

b. A *Consultant Intended DBE Participation Affidavit* and a completed *Subconsultant Intended DBE Participation Affidavit* for each DBE Subconsultant. The forms are provided in **Section VII** of the SOQ Package and shall be submitted with every Contract Modification.

OR

Certification that the prime Consultant has made an adequate good faith effort to meet the goal, even if it did not succeed
in obtaining enough DBE participation to do so. Document the good faith efforts on the *Consultant Certification of Good Faith Efforts* form. The link to the form is provided in *Section VII* of the SOQ Package and shall be submitted with every
Contract Modification.

THE CONTRACT MODIFICATIONS WILL NOT BE EXECUTED IF ONE OF THE ABOVE CONDITIONS ARE NOT MET AND/OR A CONSULTANT FAILS TO SUBMIT THE REQUIRED DBE PARTICIPATION FORMS WITH EACH MODIFICATION.

ADOT Business Engagement and Compliance Office (BECO) will make the determination whether the prime Consultant has made a satisfactory good faith effort to secure certified DBEs to meet the advertised Contract goal in accordance with 49 CFR Part 26. If BECO determines that the prime Consultant has not met the DBE goal, or has not made an adequate good faith effort to meet the DBE goal, ADOT will terminate the Contract negotiations with the prime Consultant and will negotiate with the next highest ranked Prime Consultant. If the prime Consultant wishes to dispute the Good Faith Effort determination, the prime Consultant may escalate the decision according to the levels outlined in Section 4.09 (Dispute Escalation) of the contract. The BECO will be represented at each escalation level with the goal of resolving the matter at the lowest possible level. **The decision of the BECO is final.** 

Before the first Payment Report/Invoice is submitted to ECS for each Task Order, the prime Consultant is required to logon to the <u>AZ UTRACS</u> *DBE Labor & Compliance* module at <a href="https://adot.dbesystem.com/">https://adot.dbesystem.com/</a> and enter the name, contact information, and subcontract budget amounts for <u>all DBE</u> and non-DBE Subconsultants and direct expense vendors performing <u>any</u> work on the project.

Prime Consultants shall submit a payment report on a monthly basis, Per Section 4.04 (Payment Reports/Invoices) of the contract, indicating the amounts earned by and paid to all Subconsultants working on the contract in the manner detailed in the Progress Payment Report (PPR) format for Cost Plus Fixed Fee contracts. All DBE and non-DBE Subconsultants, lower-tier Subconsultants and direct expense vendors shall confirm their payments received through AZ UTRACS DBE Labor & Compliance module. The prime Consultant may credit second-tier subcontracts issued to DBEs by non-DBE Subconsultants. Any second-tier subcontract to a DBE used to meet the goal shall meet the requirements of a first-tier DBE subcontract.

### **Fostering Small Business Participation**

49 CFR Part 26.39 also requires that ADOT's DBE Program includes an element to incorporate contracting requirements to facilitate participation by Small Business Concerns (SBCs) in contract procurements for prime Consultants and Subconsultants. SBCs are forprofit businesses registered to do businesses in Arizona that meet the Small Business Administration (SBA) size standards for average annual revenue criteria for its primary North American Industry Classification System (NAICS) code.

While the SBC component of the DBE Program does not require utilization goals on projects, <u>ADOT strongly encourages prime</u> <u>Consultants to utilize small businesses on their contracts</u> that are registered in AZ UTRACS, in addition to DBE meeting the certification requirement. Visit AZ UTRACS at <a href="https://adot.dbesystem.com/">https://adot.dbesystem.com/</a> to search for certified DBEs and registered SBCs that can be used on this contract.

### SECTION IV – SOQ FORMAT INSTRUCTIONS ECS CONTRACT NUMBER: 2015-013

The TOTAL PAGE LIMIT is <u>20</u> pages for the SOQ submittal. All SOQs shall be submitted online. Hard copies of SOQ proposals are not accepted.

- 1. **Prime Consultants shall follow the applicable online submittal instructions found in Section XI**. The SOQ proposal submitted must be one PDF file and shall not exceed 25MB. Only **one** (1) PDF file is permitted per submittal.
  - \*\*\*NOTE: For this contract only, ECS has increased the limitation of the PDF file size from 15MB to 25MB. Any and all references to this limitation within the ECS Rules and Guidelines, Information Bulletins, Acknowledgement Pages, etc. is hereby modified to a file limitation of 25MB, again, for this contract only.
- 2. **Format** Follow the exact format outlined in **Section V**, as formats for each advertisement/SOQ Package may vary. **Failure to follow the format as outlined in this SOQ shall result in rejection of the SOQ.**
- Number of Pages Number of pages shall not exceed the page limit specified above, beginning with the Introductory Letter and ending with the last page. <u>Failure to follow the page limit specified in the SOQ shall result in rejection of the SOQ. DO NOT ADD ANY ADDITIONAL PAGES, FORMS, DOCUMENTS, DIVIDER PAGES AND ATTACHMENTS THAT ARE NOT SPECIFICALLY LISTED AS REQUIRED IN THE SOQ OR THE PROPOSAL SHALL BE REJECTED.
  </u>
- 4. **Page Parameters** A page is defined as an 8½ x 11-inch, blank or printed. All proposal pages are counted from beginning to end to arrive at the maximum allowable page limit stated in the SOQ Package. All pages including covers, table of contents, tables, figures, photographs, divider sheets, maps, etc. are counted as pages.
  - \*\*\*NOTE: For this contract only, up to five (5) pages will be allowed to utilize 11x17-inch page size for the use of graphics only
- 5. **Print and Font Size** ECS strongly recommends that Consultants use a 10-point or larger font for the body of the proposal. The use of standard basic fonts, such as Arial and Times New Roman, found in all Microsoft software and print drivers is highly recommended in order to avoid any formatting issues which could result in an increase in the SOQ proposal page numbers after it is received online by ECS. The goal is to make the document clear and legible. Proposal scores will be adversely affected if SOQs are not legible or the font size is too small to read if printed by the Selection Panel members.
- 6. **Video or Multimedia Applications** No video clips or other multimedia applications are allowed. Failure to adhere to the guidelines shall result in rejection of the SOQ.
- 7. Amendments Any amendments issued as part of this SOQ Package shall be signed and included in the SOQ submittal and shall not count toward the page limit. Consultants should check the ECS website, *Current Advertisements* page prior to submitting the SOQ proposal, print all amendments from the *Current Advertisements* for the relevant project, sign the amendment(s) acknowledging receipt and append it to the SOQ proposal before submitting the completed document. Failure to include all issued Amendments with a signature in the submitted SOQ shall result in rejection of the SOQ.
- 8. Attachments The SOQ may require attachments but these shall not be included in the page count. <u>Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the SOQ, as these shall count toward the page count and shall cause the proposal to be rejected. Extra divider sheets separating the main proposal from attachments should also not be included as this shall be counted as a page.</u>
- 9. **Commenting or User Rights Feature** <u>Enable the Commenting or User Rights Feature</u> **before uploading** the <u>SOQ</u>. This SOQ will be reviewed electronically by the Selection Panel. Adobe Professional Version 7 or above *may* be used for this purpose. As each Consultant uses a different version of Adobe, use an internet search engine or Help feature of the specific Adobe program used by the Consultant to find instructions on how to enable comments.

### 10. SOQ Submission

- a. Submit the SOQ proposal to the **correct** contract number on the *Current Advertisements* page. **An SOQ submitted to the** incorrect contract number shall result in rejection/non-acceptance of the SOQ.
- b. Submission of the SOQ requires completing the online *Consultant Information Page* (CIP). <u>Failure to completely and correctly fill out ALL sections of the CIP shall result in rejection of the SOQ.</u> To complete the CIP, begin by selecting the

- prime Consultant's name and appropriate location/address from which the contract will be administered from the *Consultant Company* dropdown list.
- c. If the prime Consultant's name is not listed in the *Consultant Firm* dropdown list, the Consultant is <u>not</u> currently prequalified with ECS. Consultants not currently prequalified with ECS for **2014 2015** timeframe who intend to submit an SOQ for this proposed contract shall successfully submit the Prequalification application to ECS no later than <u>April 1, 2015</u> at <u>2:00 P.M. Arizona time</u>. The Prequalification application is found on the ECS website (<a href="http://www.azdot.gov/highways/ecs/prequalification 2014-15.asp">http://www.azdot.gov/highways/ecs/prequalification 2014-15.asp</a>). Any submissions for Prequalification with ECS received after April 1, 2015 at 2:00 P.M. Arizona time are not guaranteed to be reviewed by the SOQ due date. For questions or further clarification regarding the ECS Prequalification, contact the ECS Front Desk at (602) 712-7525.
- d. If the prime Consultant is prequalified, the prime Consultant's contact person, address and phone number on file with ECS will automatically populate in the appropriate fields. Verify all information and update as needed. The Contact Person, Email Address, Telephone Number and Fax Number fields may be updated manually but the address must be updated by ECS by contacting the ECS Front Desk at (602) 712-7525. Allow **two (2) business** days for the address information to be changed in eCMS. Also, check the *ADOT Certified DBE Firm* box if your firm is a certified DBE.
- e. Add each Subconsultant of the Project Team by clicking on the *Add New Sub-Consultant* link and completing the requested information. Select all Subconsultants in the prime Consultant's SOQ expected to work on the project and verify the location of each Subconsultant's office. Select the Type of Work the Subconsultant will perform on the project from the dropdown list. Check the *ADOT Certified DBE Firm* box if the Subconsultant is a certified DBE and provide the DBE Certification number, if any. **DBE Consultants and Subconsultants must be certified for the services proposed in the SOQ submittal.** If a Subconsultant's name is not in the eCMS database, contact ECS at (602) 712-7525. Allow **two (2) business** days to have the Subconsultant(s) added to eCMS. Subconsultant information can be edited or deleted by the user at any time until the proposal is submitted.

### 11. The online SOQ proposal shall follow the exact format outlined below:

	FORMAT CONTENT	MAXIMUM <u>POINTS</u>	TOTAL NUMBER OF PAGES
PART A	INTRODUCTORY LETTER (Page 1)		1
PART B	SOQ PROPOSAL CERTIFICATION FORM (Page 2)		1
PART C	EVALUATION CRITERIA  1. Project Understanding& Approach 2. Project Team 3. Firms Capability 4. Alternative Analysis Approach 5. Economic Analysis 6. Past Performance 7. Oral Interview	45 35 20 30 30 0 thru -5 30	18
PART D	SOQ PROPOSER'S SOLICITATION LIST (Required but shall <u>not</u> count toward page limit)		
PART E	AMENDMENTS (Required but shall <u>not</u> count toward page limit)		
	TOTALS	190	20

SOQ submissions failing to follow all instructions outlined above and the applicable online SOQ guidelines shall be rejected. The Consultant will be notified in writing of the reason(s) for rejection.

# SECTION V – SOQ FORMAT AND EVALUATION CRITERIA ECS CONTRACT NUMBER: 2015-013

The following describes more specifically, the content of each part.

### PART A. INTRODUCTORY LETTER

The Introductory Letter shall be the **first page** of the SOQ and shall be addressed to:

Arizona Department of Transportation Engineering Consultants Section 205 South 17th Avenue, Room 293E, Mail Drop 616E Phoenix, Arizona 85007

The Introductory Letter should be no longer than one (1) page and shall contain the following items:

- 1. An expression of the Firm's interest in being selected for the project.
- 2. A statement confirming the commitment of key personnel identified in the submittal to the extent necessary to meet ADOT's quality and schedule expectations.
- 3. Provide the name of the Prime Consultant Principal, officer or Project Manager responsible for this contract at the time the SOQ is submitted to ECS.
- 4. A summary of key points regarding the Prime Consultant's qualifications.
- 5. Signature of at least one (1) of the <u>authorized SOQ signers</u> indicated in the Consultant's 2014 2015 prequalification application.

### PART B. SOQ PROPOSAL CERTIFICATION FORM

The SOQ Proposal Certification Form shall be the <u>second page</u> of the SOQ. The certification statements are to ensure that prime Consultants are aware and in agreement with required Federal, State and ECS guidelines related to the award of this contract. The SOQ Proposal Certification Form shall be signed by one of the <u>authorized SOQ signers</u> as indicated in the Consultant's 2014 – 2015 prequalification application. <u>Failure to sign and submit the certification form located in Section XII shall result in the SOQ proposal being rejected</u>.

### **PART C. EVALUATION CRITERIA**

The Evaluation Criteria shall begin on the **third page** of the SOQ. The SOQ proposal will be reviewed and scored based on the responses to the information requested. Follow the format in the discussion of qualifications and number responses to each category and subcategory exactly as they are listed below:

### 1. Project Understanding and Approach (Maximum 45 points)

- a) Discuss generally the tasks involved in this project. Identify any special issues or problems that are likely to be encountered. Demonstrate clearly and concisely your understanding of the technical and institutional elements for which your Firm must deal with in this project.
- b) Outline your proposed approach for dealing with the tasks and issues of this project.
- c) Provide a tentative schedule indicating the duration and functional relationship of major tasks and key events. Discuss strategies to avoid or make up any slippage of the schedule. A graphical depiction may be included to describe the schedule.

### 2. Project Team (Maximum 35 points)

Provide a summary of experience and qualifications of each key team member, including Subconsultants. In particular, discuss the following:

a) Project Principal. Identify the person who (1) will be responsible for ensuring that adequate personnel and other resources are made available for this project; (2) will handle contractual matters, and; (3) will be ultimately responsible

for the quality and timeliness of the Prime Consultant's performance. State that person's position and authority within the Firm. Discuss previous similar projects for which this person has performed a similar function.

- b) Project Manager. Identify who will actively manage this project. Identify any projects that person will be involved with concurrently and time committed to each project. List recent <u>similar</u> projects for which this person has performed a comparable function. Discuss relevant experience, professional registrations, education and other components of qualifications applicable to this project.
- c) Project Engineer(s) and/or Other Key Personnel. Identify other members of the project team including all Subconsultants who will provide special expertise or will perform key tasks. Describe their anticipated roles. Discuss their relevant experience, registration, education and other elements of qualification applicable to this project.
- d) Construction Cost Estimator. Specify who will be responsible for construction cost estimating and that person's relative experience on projects similar to the one being submitted on.
- e) On a matrix for each key team member identified, provide the following:
  - 1) List key team member and professional registration number
  - 2) Role of the key team member on this project
  - 3) Percentage of time <u>specifically anticipated on this project</u>
  - 4) List other projects each key member is currently working on or committed to in other proposals and percentage of time assigned/committed to those projects
  - 5) Location from which they will work on this project
  - 6) Role of the person on similar projects (not to exceed 2 projects)
  - 7) For each project identified, list Consultant contract value, and project owner

\*\*\*NOTE: Any change to Key Personnel listed in the SOQ during contract negotiations may result in ADOT declaring failed contract negotiations.

### 3. Firm Capability (Maximum 20 points)

- a) Discuss the <u>Consultant's</u> recent <u>relevant</u> experience, which should include at least <u>five</u> (5) projects of comparable character, size, budget and complexity and indicate clearly whether that experience was as a Consultant or Subconsultant. The projects listed may include no more than two (2) projects that reflect the individual experience of the Firm's owners (5% or more) when they were employed by or owned other firms. For each project identified, provide the following:
  - 1) Description of the project
  - 2) Role of the Firm (Identify the work performed e.g., design, project management, etc.)
  - 3) Key staff involved in the project
  - 4) Consultant contract amount for each project
  - 5) Project owner

(Note: Subconsultant's experience should be noted in Section 3.b below.)

- b) Discuss recent <u>relevant</u> firm experience of your key Subconsultants. Describe any notable expertise, increase in capacity or other special capabilities of your Subconsultants (including DBEs) that are critical to your proposal.
- c) Provide the number of years the Consultant has been in business and briefly discuss the Consultant's financial and human resource capacity to complete a project of similar size and complexity to that of this project. Discuss quantitatively how this project would impact the current and anticipated workload of the office, which will perform this work. If "staffing up" will be necessary, discuss which areas and how that would be accomplished.
- d) Describe your internal quality control procedures and indicate how your quality program would enhance the development of this project.

### 4. Alternative Analysis Approach (Maximum 30 Points)

- a) Discuss the process your team will complete to evaluate all reasonable and feasible alternatives within the study area. The evaluation process should include a method to evaluate all practical modes, and possible uses within the corridor.
- b) Describe the evaluation tools proposed to accomplish the process proposed.
- c) Describe how the proposed process will be coordinated with a comprehensive public outreach process that will be managed by ADOT Communications

### 5. Economic Analysis (Maximum 30 Points)

- a) Discuss the methods that will be used to evaluate the economic benefits or impacts of the various alternatives considered to the State of Arizona and communities located within the study area.
- b) Describe the analysis tools proposed to accomplish the economic methods proposed.

### 6. Past Performance (Maximum of up to 5 points may be <u>deducted</u> from the total score)

Consultants' past performance on ECS contracts will be determined based on the Consultants' <u>final</u> evaluation history for contracts executed <u>after July 1, 2010</u>. Up to five (5) points will be deducted from the Consultant's scores during the selection process on performance factors of evaluation for projects a firm has completed for the Department over the most current three-year timeframe. More information about the Consultant Evaluation Program Guidelines can be found in **Section XV**.

ECS will apply the past performance scores once the Selection Panel has completed its scoring and has determined the firms' final average score. ECS will deduct points, if applicable, from the final average score for each firm based on performance ratings listed below:

Performance rating of 1 or 2 on 1 - 2 evaluation factors

Performance rating of 1 or 2 on 3 - 4 evaluation factors

Performance rating of 1 or 2 on 5 - 6 evaluation factors

Performance rating of 1 or 2 on 7 - 8 evaluation factors

Performance rating of 1 or 2 on 9 or more evaluation factors

-3 Points

-4 Points

-5 Points

### 7. Oral Interview (Maximum 30 points)

Firms may be short-listed and requested to participate in an oral interview process as specified in the SOQ Package. If an interview is required, the Consultants will be notified by email or letter after the proposal review of the date, time, location and format of the interview.

### Interviews shall be scored as follows:

Presentation 10 points Answer to Questions 20 points

### PART D. SOQ PROPOSER'S SOLICITATION LIST

The SOQ Proposer's Solicitation List shall be the <u>inserted in front of any amendments</u> of the SOQ. In accordance with <u>49 CFR 26.11</u>, ADOT is required to create and maintain a *Proposer's Solicitation List* to capture accurate data regarding the universe of DBE, non-DBE, and Small Business Concerns (SBC) Consultants and Subconsultants who expressed interest or were solicited to work on this contract. Proposers <u>must</u> complete the required information by listing <u>each</u> Subconsultant that (1) prime Consultant directly solicited to be a part of this contract, (2) contacted the prime Consultant expressing interest in this contract and (3) prime Consultant ultimately proposes to utilize on this contract. ADOT <u>Business Engagement and Compliance Office</u> (BECO) will review this form to ensure compliance with 49 CFR 26.11. Firms may be contacted for clarification or additional information. <u>Failure to complete this form in its entirety and submit it with the SOQ proposal shall result in rejection of the SOQ proposal.</u>

### PART E. AMENDMENTS

Attach a signed copy of all amendments issued as part of this SOQ. Amendments are not included in the page count. **Failure to include all amendments issued shall result in the SOQ being rejected.** See **Section IV** for further instruction.

### **SECTION VI - PANEL RANKING FORMS**

The Panel Ranking Forms that will be used to evaluate the SOQ, are as follows:

# ARIZONA DEPARTMENT OF TRANSPORTATION ENGINEERING CONSULTANTS SECTION STATEMENT OF QUALIFICATIONS PANEL COMMENT FORM Contract No.: 2015-013

FIRM NAME\_\_\_\_\_#\_\_\_ PANEL MEMBER\_\_\_\_\_#\_\_\_ 1. PROJECT UNDERSTANDING AND APPROACH (Maximum 45 points) a. How well has the consultant expressed an understanding of the nature and scope of the project and the major tasks and issues that will need to be addressed? How successfully, clearly and precisely has the consultant expressed their understanding of the project? (20 points) Points b. How well has the consultant identified and dealt with the major tasks and issues of the project? (15 points) Points How realistic and timely is the schedule? How well has the consultant presented strategies to avoid or make up any slippage in the schedule? (10 points) Points \_\_\_\_ PROJECT UNDERSTANDING AND APPROACH SUMMARY (Comments Required): Firm Strength: Firm Weakness: **Suggestions for Improvement:** 

PROJECT UNDERSTANDING AND APPROACH TOTAL POINTS \_\_\_\_\_

# **PROJECT TEAM (Maximum 35 points)** Does the Project Principal have the authority necessary to commit firm resources and act on behalf of the consultant regarding contractual matters, disputes, quality and timeliness of services to be provided? What is this person's experience and record of performance on past projects of similar type and magnitude? How has this individual been responsive to clients in the past? (3.5 points) Points b. What is the level of ability and experience of the proposed Project Manager? What is the person's record of accomplishing similar projects in the past in terms of (1) quality of work, (2) meeting schedules, and (3) responsiveness to special needs and concerns of the client? To what degree does the Project Manager demonstrate having adequate time to commit to the project? (14 points) Points What level of expertise do other key members of the project team provide to deal with the scope of this project? How well are the roles of the key members of the team clearly defined and how well do these definitions support the delivery of the project? Do they have all the required licenses and registrations? What other essential training and/or experience do they have that uniquely supports their ability to perform the work? (7 points) Points Did the consultant specify who will be responsible for the construction cost estimating? How does the person's experience relate directly to the project? (3.5 points) Points How successfully does the team matrix demonstrate the ability, qualifications and time commitment of each key team member to complete project requirements? How has the consultant demonstrated that there is sufficient time to be committed by key staff to successfully complete project requirements? What is the degree to which key staff members are currently involved with other projects? (7 points) Points PROJECT TEAM SUMMARY (Comments Required): Firm Strength: Firm Weakness:

2.

	PROJECT TEAM TOTAL POINTS _
FIR	RM CAPABILITY (Maximum 20 points)
a.	What level of experience as a Prime Consultant does the firm have that is relevant to this project? Are the employees with the relevant experience participating in this project? What relevant similar sized projects has the worked on in the past? Were most of the projects completed by the proposing Prime Consultant? What is the deg familiarity the Prime Consultant demonstrates with required standards and procedures? What level of expertise commitment does the firm demonstrate to successfully complete the requirements of this project? (8 points)
	Points
b.	What is the degree to which the Subconsultant(s) included on this team have the technical experience, ava personnel and record of performance appropriate for their anticipated roles? How did the firm fit the subconsul qualifications/duties into the overall picture? (5 points)
	Points
с.	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time
c.	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time been in business and its ability to complete projects of similar size and complexity to that of this project? In what was
	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time been in business and its ability to complete projects of similar size and complexity to that of this project? In what was the consultant shown there will be qualified personnel available to complete this project as proposed? (5 points)  Points
	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time been in business and its ability to complete projects of similar size and complexity to that of this project? In what we the consultant shown there will be qualified personnel available to complete this project as proposed? (5 points)  Points  How will the Prime Consultant's quality control program ensure a high quality final product? How has the Consultant control program been successfully used on other similar sized and type projects in the past? (2 points)
d.	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time been in business and its ability to complete projects of similar size and complexity to that of this project? In what we the consultant shown there will be qualified personnel available to complete this project as proposed? (5 points)  Points  How will the Prime Consultant's quality control program ensure a high quality final product? How has the Consultant quality control program been successfully used on other similar sized and type projects in the past? (2 points)
d.	How will the Prime Consultant's quality control program ensure a high quality final product? How has the Consul quality control program been successfully used on other similar sized and type projects in the past? (2 points)  Points
d.	How has the firm demonstrated financial and staff resource capacity to complete the project by the length of time been in business and its ability to complete projects of similar size and complexity to that of this project? In what we the consultant shown there will be qualified personnel available to complete this project as proposed? (5 points)  Points  How will the Prime Consultant's quality control program ensure a high quality final product? How has the Consultanty control program been successfully used on other similar sized and type projects in the past? (2 points)  Points  Points

	FIRM CAPABILITY TOTAL POINTS
ALT	ERNATIVE ANALYSIS APPROACH (Maximum 30 points)
a.	How well has the consultant explained their process to evaluate reasonable and feasible alternatives within the area? Did they describe methods to be used to properly evaluate alternatives? Has the process to evaluate alternatives been used successfully on other projects? (10 points)
	Points
b.	Were evaluation tools proposed for the team to complete an alternative analysis on this project? Has the demonstrated and described how these tools will be used to benefit this project and the alternative analysis? (10 poi
	Points
c.	How well has the firm demonstrated the coordination of the proposed alternative analysis with an internal poutreach process? (10 points)
	Points
ALT	ERNATIVE ANALYSIS APPROACH SUMMARY (Comments Required):
Firn	n Strength:
Firn	n Weakness:
Firn	n Weakness:
Firn	n Weakness:

ALTERNATIVE ANALYSIS APPROACH TOTAL POINTS \_\_\_\_\_

5.	ECONOMIC ANALYSIS (Maximum 30 points)				
	a.	Did the consultant detail what methods will be used to evaluate economic benefits or impacts of alternatives considered within the study area? How realistic and defined are the methods proposed as well as relevant to this project? (15 points			
		Points			
	b.	Were analysis tools proposed for the team to complete an economic analysis on this project? Has the firm demonstrated and described how these tools will be used to benefit this project? (15 points)			
		Points			
FCO	NOI	MIC ANALYSIS SUMMARY <i>(Comments Required)</i> :			
		n Strength:			
	Firn	n Weakness:			
	Sug	gestions for Improvement:			
		ECONOMIC ANALYSIS TOTAL POINTS			

CATEGORY 1 – 5 TOTAL POINTS \_\_\_\_\_

6.	ORAL INTERVIEW - SCORED BY THE PANEL* (Maximum Points 30)				
	a.	How well did the presentation complement or enhance the materials presented in the consultant's SOQ?			
			Points		
	b.	How did the Consultant Team respond to the panel questions? Were the answers accurate, lacking, understanding of the requirements of the project, etc.? (20 points)	demonstrate a		
			Points		
OR/	AL IN	ITERVIEW SUMMARY <i>(Comments Required)</i> :			
	Firr	m Strength:			
	Firr	n Weakness:			
	Sug	gestions for Improvement:			
	_				
		ORAL INTERVIEW TOTA	AI POINTS		

<sup>\*</sup>To be completed by the panel if Oral Interviews are required.

### SECTION VII – DBE PROGRAM INFORMATION AND FORMS

### **DBE Program Information**

To review the DBE Program Information, use the following link:

http://www.azdot.gov/business/engineering-consultants/DisadvantagedBusinessEnterprise(DBE)Program

### Arizona Unified Transportation Registration and Certification System (AZ UTRACS)

To confirm DBE certification and work certified to perform, use the following link:

https://adot.dbesystem.com/

### **SOQ Proposer's Solicitation List**

To review the SOQ Proposer's Solicitation List, use the following link:

http://www.azdot.gov/docs/default-source/business/soq-proposer's-solicitation-list.pdf

### **Consultant Intended DBE Participation Affidavit**

To review the Consultant Intended DBE Participation Affidavit, use the following link: <a href="http://www.azdot.gov/docs/business/dbe-consultant-intended-participation-affidavit.pdf">http://www.azdot.gov/docs/business/dbe-consultant-intended-participation-affidavit.pdf</a>

### **Subconsultant Intended DBE Participation Affidavit**

To review the Subconsultant Intended DBE Participation Affidavit, use the following link: <a href="http://www.azdot.gov/docs/business/dbe-subconsultant-intended-participation-affidavit.pdf">http://www.azdot.gov/docs/business/dbe-subconsultant-intended-participation-affidavit.pdf</a>

### **Consultant Certification of Good Faith Efforts**

To review the Consultant Certification of Good Faith Efforts, use the following link:

http://www.azdot.gov/docs/default-source/businesslibraries/adot-good-faith-certificate.pdf

### SECTION VIII - STANDARDS OF CONDUCT AND CONFLICT OF INTEREST

To review the ECS Rules, Section 1.10, for all Standards of Conduct and Conflict of Interest statutes and policies, use the following link: <a href="http://www.azdot.gov/docs/business/ecs-rules.pdf">http://www.azdot.gov/docs/business/ecs-rules.pdf</a>

### **SECTION IX - LOBBYING CERTIFICATION**

To review the Lobbying Certification, use the following link:

http://www.azdot.gov/docs/business/lobby-certification.pdf

### SECTION X - PROJECT SUMMARY/REFERENCE MATERIAL AVAILABILITY

To review all documents regarding this project, copy and paste the following link in your browser:

### ftp.azdot.gov/

Username: ECS
Password: Ecs\_01
\*Password is case sensitive

### SECTION XI- SOQ ONLINE SUBMITTAL INSTRUCTIONS

To access the SOQ online submittal instructions, use the following links:

### For Firms with ECS Contracts:

http://www.azdot.gov/docs/business/online-soq-submission-guidelines-and-instructions-(for-firms-with-ecs-contracts).pdf

### For Firms without ECS Contracts:

 $\frac{http://www.azdot.gov/docs/business/online-soq-submission-guidelines-and-instructions-(for-firms-with-no-ecs-contracts).pdf}{}$ 

### SECTION XII – SOQ PROPOSAL CERTIFICATION FORM

To review, complete and submit the SOQ Proposal Certification Form with the SOQ, use the following link: <a href="http://www.azdot.gov/docs/business/soq-certification.pdf">http://www.azdot.gov/docs/business/soq-certification.pdf</a>

### **SECTION XIII – PAYMENT REPORT FORMAT**

To review the Cost Plus Fixed Fee Payment Report Format, use the following link:

http://www.azdot.gov/docs/default-source/ecs/cpff-rev-01-16-13.xls

### SECTION XIV - ADOT ADVANCE AGREEMENT GUIDELINE AND ADOT CONSULTANT AUDIT CRITERIA

To review the ADOT Advance Agreement Guideline, use the following link:

http://azdot.gov/docs/about/adot-advance-agreement-guideline.pdf

To review the ADOT Consultant Audit Criteria (Information Bulletins 08-03 & 09-04), use the following links:

http://www.azdot.gov/docs/businesslibraries/08-03.pdf

http://www.azdot.gov/docs/businesslibraries/09-04.pdf

### SECTION XV - CONSULTANT EVALUATION PROGRAM GUIDELINES

To review Consultant Evaluation Program Guidelines, use the following link:

http://www.azdot.gov/docs/business/evaluation-program-guidelines.pdf

### **SECTION XVI - CONTRACT BOILERPLATE**

To review the Cost Plus Fixed Fee Single-Phase sample contract, use the following link:

http://azdot.gov/docs/default-source/ecs/cpff-single-phase.pdf

### SECTION XVII - DICTIONARY OF STANDARDIZED WORK TASKS

To review the Dictionary of Standardized Work Tasks, use the following link:

http://azdot.gov/docs/default-source/businesslibraries/dictionary-of-standard-work-tasks-fy2015.pdf

SECTION XVIII - SCOPE OF WORK

### ARIZONA DEPARTMENT OF TRANSPORTATION

MULTIMODAL PLANNING DIVISION



### **SCOPE OF WORK**

# I-11 AND INTERMOUNTAIN WEST CORRIDOR TIER 1 ENVIRONMENTAL IMPACT STATEMENT

### **NOGALES TO WICKENBURG, ARIZONA**

TRACS NO. M5180 01P

**MARCH 2015** 

### Federal Aid #: 999-A(468)S

March 18, 2015

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### 1 PURPOSE

This scope is designed to result in a Federal Highway Administration (FHWA) Tier 1 Environmental Impact Statement (EIS) and conceptual engineering, that will be structured to select a preferred corridor alignment (approximately 2,000 feet in width) and preferred modal choice for accommodating future traffic needs from Nogales (beginning at the US 189 and I-19 Traffic Interchange [TI]) to Wickenburg (ending at the US 93 and SR 71 TI), Arizona as recommended in the final Interstate 11 and Intermountain West Corridor Study (I-11 IWCS). The consultant will complete conceptual engineering for a transportation corridor from Nogales to Wickenburg, Arizona (**Figures 1 and 2**), reported in an Alternatives Selection Report (ASR), and environmental analysis in a Tier 1 EIS with the intent to obtain a Record of Decision (ROD) from the FHWA.

The EIS and ASR (the Project) will include a scoping process with development of a purpose and need and range of alternatives, moving through a progressive reduction in the number of alternatives based on an agreed upon evaluation methodology, leading to the identification of a preferred corridor alignment and modal choice that will be the subject of a Tier 1 EIS. This work will comply with the requirements of the National Environmental Policy Act (NEPA); federal law and executive orders; applicable federal regulations included in the FHWA Federal-Aid Policy Guide and applicable state laws and regulations.

Unless otherwise indicated, the NEPA clearance sought under this Scope of Work will serve programmatic purposes to better define opportunities for a high capacity traffic connection between Nogales, Arizona and Wickenburg, Arizona. The primary goals of the Draft Tier 1 EIS and ASR are to identify a Preferred Corridor Alignment, segments of independent utility (SIU), and incorporate multimodal options within each SIU of the Preferred Corridor Alignment.

### 2 BACKGROUND INFORMATION

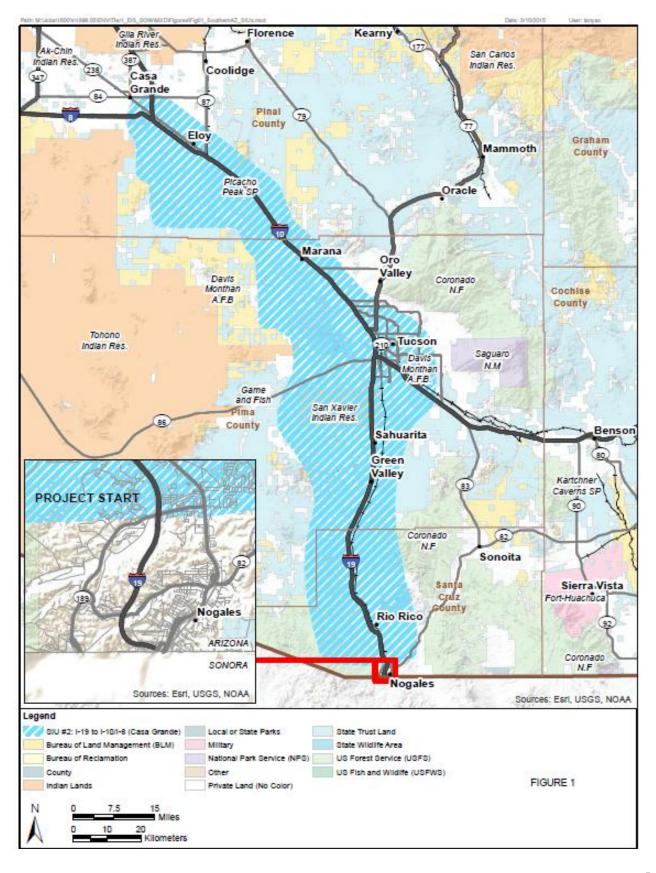
### 2.1 Previous I-11 IWCS Documents

The documents developed as part of the previous I-11 and IWCS are the baseline material for the current Tier 1 EIS and ASR. These documents are available on-line at <a href="http://i11study.com/wp/?page id=237">http://i11study.com/wp/?page id=237</a>.

- Purpose and Need Statement
- Phase I Corridor Vision

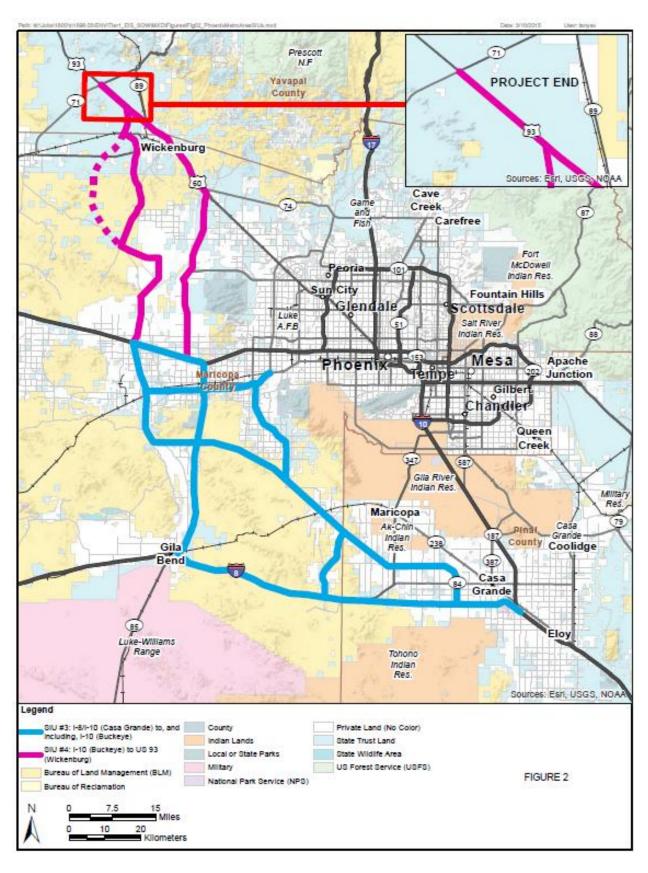
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- o Corridor Vision Summary
- Phase II Corridor Justification
  - o Existing Natural and Built Environment Technical Memorandum
  - o Corridor Justification Report
- Phase III Corridor Concept
  - o Level 1 Evaluation Results Summary
  - o Southern Arizona Future Connectivity Corridor Feasibility Assessment Report
  - o Level 2 Evaluation Results Summary
  - o Business Case
  - o Implementation Program
  - o Corridor Concept Report
  - Planning and Environmental Linkages Questionnaire and Checklist: Arizona Corridor Segments
- Outreach
  - o Public Involvement Plan

### 2.2 Additional Guidance

FHWA guidance for use on the Project includes the following:

- The NEPA Task Force Report to the Council on Environmental Quality: Modernizing NEPA Implementation, Chapter 3: <a href="http://cdn.ca9.uscourts.gov/datastore/library/2013/02/26/Pacific NEPA%20final.pdf">http://cdn.ca9.uscourts.gov/datastore/library/2013/02/26/Pacific NEPA%20final.pdf</a>
- Guidelines on the Use of Tiered Environmental Impact Statements for Transportation Projects, NCHRP 25-25(38) Publication:
  - http://onlinepubs.trb.org/onlinepubs/nchrp/docs/NCHRP25-25(38)\_FR.pdf
- FHWA general guidance: <a href="http://www.fhwa.dot.gov/hep/guidance/">http://www.fhwa.dot.gov/hep/guidance/</a>
- FHWA CFR guidance: <a href="http://www.gpo.gov/fdsys/pkg/CFR-2011-title23-vol1/xml/CFR-2011-title23-vol1-sec771-117.xml">http://www.gpo.gov/fdsys/pkg/CFR-2011-title23-vol1-sec771-117.xml</a>
- CEQ general guidance: <a href="http://www.gpo.gov/fdsys/pkg/CFR-2012-title40-vol34/xml/CFR-2012-title40-vol34-part1502.xml">http://www.gpo.gov/fdsys/pkg/CFR-2012-title40-vol34/xml/CFR-2012-title40-vol34-part1502.xml</a>
- CEQ tiering guidance: <a href="http://www.gpo.gov/fdsys/pkg/CFR-2012-title40-vol34/xml/CFR-2012-title40-vol34-sec1502-20.xml">http://www.gpo.gov/fdsys/pkg/CFR-2012-title40-vol34/xml/CFR-2012-title40-vol34-sec1502-20.xml</a>
- "A Policy on Design Standards Interstate System" https://bookstore.transportation.org/item\_details.aspx?id=1175

Federal Aid #: 999-A(468)S

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### 3 PROJECT INITIATION AND PROJECT MANAGEMENT

The purpose of this task is to provide a solid foundation for collaborative relationships with the FHWA, the Arizona Department of Transportation (ADOT), cooperating agencies, participating agencies, and Project stakeholders, and to establish processes that will ensure timely completion of the Project.

### 3.1 Project Management Team

The consultant will coordinate regularly with the ADOT Project Management Team (PMT) comprised of the ADOT Project Director (Multimodal Planning Division [MPD]), ADOT Planning Manager (MPD), ADOT Engineering Manager (Urban Project Management), ADOT Environmental Manager (Environmental Planning Group [EPG]), and various members of ADOT Communications. Additionally the consultant will provide technical assistance as requested by ADOT with regard to the following coordination efforts.

- ADOT will establish a Leadership Team comprised of the ADOT MPD Director, ADOT (Intermodal Transportation Division [ITD]) Director, ADOT Director of Government Relations, and representation from Maricopa Association of Governments (MAG), Pima Association of Governments (PAG), Sun Corridor Metropolitan Planning Organization (SCMPO), and FHWA. The Leadership Team will be managed by the ADOT Project Director.
- ADOT will establish a Resource Advisory Committee (RAC) comprised of key individuals of FHWA and federal and state resource agencies that have critical input into the development of the Tier 1 EIS. The RAC will be managed by the ADOT Environmental Manager.
- ADOT will establish an Interdisciplinary (ID) Team comprised of representatives
  of various ADOT groups and sections that will provide technical advice to the
  project team during the development of the ASR. The ID Team will be managed
  by the ADOT Engineering Manager.
- ADOT will establish an Agency Advisory Committee (AAC) comprised of representatives of each City, Town, County, COG and MPO associated with the study. Additional groups such as, but not limited to, coalitions, neighborhood associations, and business associations may be added to this committee. The AAC will be managed by the ADOT Planning Manager.

### 3.2 Project Management Plan

The selected consultant will develop a Project Management Plan (PMP) early in the process to guide the PMT through the entire Tier 1 EIS and ASR process. The PMP includes a refined Project-wide scope of work, schedule and staffing plan.

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The consultant will develop the PMP to include:

- Project schedule with key milestones and deadlines;
- Clearly established roles and responsibilities for deliverables;
- Preparation of detailed monthly progress reports which allow ADOT to closely monitor billings, task results, and deliverables;
- Description of PMT communication and coordination process throughout the Project; and
- Establish a password-protected project management website to allow posting of data and documents for review, edit and approval. This website will be for information sharing within the PMT and will remain separate and independent of the public ADOT website.

### 4 COORDINATION, OUTREACH, AND INVOLVEMENT

In accordance with the requirements of NEPA and Section 6002 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), coordination, outreach, and involvement with federal, state, tribal, and local agencies will be undertaken as part of this Project as well as public involvement.

### 4.1 Agency

The purposes of the SAFETEA-LU agency coordination are to facilitate and document the lead agencies' (FHWA and ADOT) structured interaction with agencies and to inform the agencies of how that interaction will be accomplished. Federal, state, cooperating agencies, tribal, regional, and local government agencies that may have an interest in the Project will be invited to serve as either cooperating or participating agencies at the discretion of FHWA and ADOT.

### 4.1.1 Cooperating Agencies

Cooperating agencies will be any federal agency, other than FHWA, that has jurisdiction by law or special expertise with respect to any environmental impact involved in the Project. A state or local agency of similar qualifications or, when the effects are on lands of tribal interest, a Native American tribe may, by agreement with the lead agencies, also become a cooperating agency. Possible cooperating agencies on the Project include the Bureau of Land Management (BLM), National Park Service (NPS), Federal Transit Administration (FTA), and Federal Railroad Administration (FRA).

The roles and responsibilities of cooperating and participating agencies are similar, but cooperating agencies have a higher degree of authority, responsibility, and involvement in the environmental review process. A distinguishing feature of a cooperating agency is that

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the CEQ regulations (40 CFR Section 1501.6) permit a cooperating agency to "assume on request of the lead agency responsibility for developing information and preparing environmental analyses including portions of the environmental impact statement concerning which the cooperating agency has special expertise." An additional distinction is that, pursuant to 40 CFR 1506.3, "a cooperating agency may adopt without recirculating the environmental impact statement of a lead agency when, after an independent review of the statement, the cooperating agency concludes that its comments and suggestions have been satisfied." This provision is particularly important to permitting agencies, such as the U.S. Army Corps of Engineers (Corps), who, as cooperating agencies, routinely adopt FHWA environmental documents.

### 4.1.2 Participating Agencies

FHWA and ADOT, in conjunction with the consultant, will identify potential participating agencies. The roles and responsibilities of participating agencies include, but are not limited to:

- Participating in the NEPA process starting at the earliest possible time, in general this would be during Scoping. Participation would include the development of the purpose and need statement, range of alternatives, methodologies, and the level of detail for the analysis of alternatives.
- Identifying, as early as practicable, any issues of concern regarding the Project's potential environmental or socioeconomic impacts. Participating agencies also may participate in the issue resolution process.
- Providing meaningful and timely input on unresolved issues.
- Participating in the scoping process. The scoping process should be designed so
  that agencies whose interest in the project comes to light as a result of initial
  scoping activities are invited to participate and still have an opportunity for
  involvement.

The consultant will prepare invitations for agencies to participate in the NEPA process as well as all scoping materials and allow ADOT and FHWA to review such materials. The FHWA will send invitations to potential participating agencies. The invitation must specify a deadline for responding to the invitation. A response deadline of no more than 30 days is suggested. The scoping process may be conducted concurrently with the invitation process as long as the potential participating agencies are provided with sufficient scoping information and opportunity for involvement. The invitation will indicate that written responses are not due until after the interagency scoping meeting so that agencies can weigh the relevance of their participation in the environmental review process.

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### 4.1.3 Agency Outreach and Involvement Plan

At the direction of ADOT and FHWA, the consultant will be responsible for agency coordination, outreach, and involvement, including tribal agency efforts. The consultant will not lead agency coordination with elected officials. Elected official coordination will be led by ADOT Communications and supported as needed by the consultant.

The purpose of this task is to develop and implement an Agency Outreach and Involvement Plan (AOIP) supportive of the NEPA process, FHWA environmental procedures, and local needs. Agency efforts will be conducted in cooperation with the FHWA and ADOT Communications throughout the Tier 1 EIS and ASR processes and will include:

- Development of an AOIP
- Coordination of agency interaction and engagement opportunities (e.g., meetings, presentations, online interaction, etc.);
- Involvement in the communication strategy including overall graphic image for the study, all agency, stakeholder, and public communication graphics and informational pieces (e.g., handouts, displays, fact sheets, presentations); and
- Development and maintenance of agency databases
- Documentation of AOIP efforts, including findings

Agency outreach and involvement for the Project will be a three-phased process:

- Phase 1, scoping, will be accomplished via scoping meetings, one per county (Maricopa, Pinal, Pima, and Santa Cruz). The consultant will assist FHWA in developing and sending invitations to potential participating agencies. The invitation must specify a deadline for responding to the invitation, assumed to be 30 days. The scoping process may be conducted concurrently with the invitation process as long as the potential participating agencies are provided with sufficient scoping information and opportunity for involvement. The invitation will indicate that written responses are not due until after the scoping meetings so that agencies can weigh the relevance of their participation in the environmental review process.
- Phase 2, input on narrowed list of alternatives, will be accomplished via electronic communication (website, e-newsletters, and online surveys).
- Phase 3, comment on the Tier 1 EIS, will be accomplished in conjunction with the public hearings anticipated to be one per county (Maricopa, Pinal, Pima, and Santa Cruz).

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The consultant will develop an AOIP that effectively positions ADOT's planning efforts and ensure that communication and outreach activities allow agencies an opportunity to participate and actively engage in an open and transparent process.

All materials developed by the consultant for agency and tribal outreach and involvement will be made available for use in stakeholder and public outreach and involvement as well. Agency coordination will be developed and implemented under the guidance of ADOT and FHWA. As appropriate, documentation of agency and tribal efforts will be provided to the consultant for inclusion in the NEPA documentation.

The consultant, as appropriate, will participate in agency, tribal, stakeholder, and public interaction, and providing necessary technical information and graphics to be used in study communication materials.

### 4.2 Public

ADOT Communications and their consultant will be responsible for public involvement, communication, government/stakeholder relations, and media relations strategies. They will develop and implement the Public Involvement and Outreach Plan (PIOP) in coordination with the AOIP. The EIS and ASR consultant will provide technical information for public outreach and involvement, including the Project website.

### 5 CONCEPTUAL ENGINEERING

The purpose of this task is to identify a reasonable set of corridor alignment alternatives (corridors) within the defined Project Study Area to satisfy the purpose and need, and incorporate community and participating agencies input as practicable. This will be a multi-phase process. Part of the development of corridors will be a review of previously defined segments of independent utility (SIU) and concurrence on their appropriateness for conceptual corridor development and evaluation purposes. The initial range of corridors will be screened at a high level based on the identification of fatal flaws, preliminary comparisons among the candidate corridors and information obtained during the scoping process. Once a set of conceptual corridors has been identified, a more detailed description of each corridor will be developed, including modal options, and a thorough evaluation methodology will be applied to arrive at a set of final corridors from which a preferred corridor will be selected. The preferred corridor or Proposed Action and the final corridors will be further refined and carried into a Tier 1 EIS to produce a NEPA-compliant programmatic document for the Project.

Corridors are to be developed utilizing design criteria without design exceptions.

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### 5.1 Evaluation Criteria and Methodology

In keeping with the progressive refinement built into the process, the purpose of this task is to define clear evaluation criteria and a methodology to evaluate various corridors against the purpose and need developed during and following scoping. The evaluation criteria will be quantitative and qualitative depending upon the work necessary to determine the best alternatives to advance to the Tier 1 EIS phase. To assist in developing the criteria, the consultant will work with ADOT and FHWA to implement FHWA's INVEST tool. The consultant will assist in a process of stakeholder engagement specific to the development of evaluation criteria and the weight of such evaluation criteria. The process of developing evaluation criteria, evaluation methodology, and stakeholder engagement of such process will be documented in the Tier 1 EIS and ASR.

### 5.2 Range of Corridors

The consultant will define the range of corridors based on the findings of the previous studies and input from agencies and stakeholders to be submitted for consideration by ADOT and FHWA. The corridor development will utilize methods and technologies that can simultaneously optimize both horizontally and vertically to ensure comprehensive corridor investigation and to enable ADOT and FHWA to meet the NEPA requirements of analyzing all reasonable alternatives. The methodology and technologies must support the iterative nature of the NEPA process, provide an auditable trail of the alternatives development and evaluation process, and determine optimal corridors subject to the constraints defined by the environment, geology, engineering, social, and economic constraints. This will include a documented analysis of the costs associated with each corridor. The consultant must have the ability to represent each corridor with a 3D fly through model if requested by ADOT and FHWA. The corridor centerlines must be exportable for use in a Geographic Information System or spreadsheets, and include the centerline and earthwork limits with 3D coordinates (xyz).

### 5.3 Initial Screening of Corridor Elements

The consultant will screen the various modal options and corridors based on overall physical and environmental constraints derived from the previous studies, the findings of the INVEST tool, and scoping. This screening will be performed in conjunction with ADOT and FHWA.

### 5.4 Conceptual Corridors

This task will identify the corridors that will be developed in more detail and analyzed with a second level of evaluation criteria. It will configure corridors from the initial screening findings. Each corridor will require preparation of information, maps and input from

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multiple sources (e.g., agencies, stakeholders, public, PMT) to allow a thorough assessment of the characteristics of the corridors which will lead to the final corridors that will be evaluated in the Tier 1 EIS.

The result of this task will be a set of reasonable conceptual corridors to be considered, including a "No-Action" alternative. The No-Action alternative will serve as a baseline for comparison for all corridors considered.

### 5.5 Traffic Modeling

The consultant will use the Arizona Statewide Travel Demand Model (AZTDM) and reconcile between the various statewide and regional models. The final projected travel demand numbers must be coordinated with the appropriate MPOs.

### 5.6 Corridors Evaluation

The consultant will work with ADOT, FHWA, cooperating agencies, participating agencies, and stakeholders to identify a set of reasonable build corridors in addition to a No-Action alternative to be carried into the NEPA Tier 1 EIS process. Public and agency review will be solicited for the results of the conceptual engineering. Meetings with councils, boards, or commissions will be held as defined in the POIP. A Draft ASR will be submitted to ADOT and FHWA for review and comment.

### 5.7 Final Corridors

This effort will provide a detailed definition of the Proposed Action and corridors to be considered in the Tier 1 EIS. The corridors, in addition to a No-Action alternative, will be described in sufficient detail to develop reasonable capital cost estimates, traffic projections, specific corridor limits right-of-way requirements and impacts, major utility impacts, general traffic impacts, and impacts on the human and natural environments. A Final ASR will be submitted to ADOT and FHWA for review and comment.

### 5.8 Alternative Selection Report

The ASR is a development step taken when there is a need to screen or refine multiple alternatives and/or a need to screen a wide range of alternatives down to a reasonable number of alternatives for detailed study in a Location/Design Concept Report. Working in conjunction with the Tier I EIS process, the ASR should include the following elements:

- Introduction
  - Need for the Project
  - Description of the Project
  - Characteristics of the Study Area

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- Agency and public scoping
- Traffic analysis
  - o Traffic forecast model results
  - No-build network
  - Daily volumes for proposed corridors
  - o Planning-level Level of Service analysis
- Location analysis
  - Reasons for location analysis
  - Evaluation of corridor alternatives
  - Agency and public coordination
  - o Recommendations
- Major design features of all Corridors Considered
  - o Design controls
  - Access
  - o Right-of-way
  - o Earthwork
  - o Traffic design
  - o Utilities, railroads, and major irrigation systems
  - Structures
  - Habitat connectivity
  - Multimodal considerations
- Cost Estimate of all Corridors Considered
- Implementation Plan

### **6 ENVIRONMENTAL**

The purpose of this task is to prepare a comprehensive Tier I EIS for use by decision makers in identifying a recommended corridor and modal options, which will result in a ROD. FHWA is the lead federal agency for the Project. Based on agency scoping and alternatives development, cooperating agencies may be identified, such as BLM, NPS, FTA, and FRA. With their involvement, these agencies may have additional NEPA requirements that would need to be addressed by the consultant. Furthermore, the consultant would be required to review any technical data provided by such cooperating agencies, and in return, provide any available Project information needed by the cooperating agencies to amend necessary land management plans.

Purpose and need, alternatives development and evaluation, and coordination efforts were all initiated under previous study efforts. The evaluation and findings of those previous

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efforts will be the foundation of the study efforts undertaken as part of the Tier I EIS. See the Previous Studies section of this Scope of Work for more information.

### 6.1 Environmental Impact Statement Review Process

The EIS will be developed and reviewed in the following manner:

- An Administrative Draft Tier I EIS will be prepared and submitted for review by ADOT.
- The Administrative Draft Tier I EIS will be revised per comments received from ADOT and submitted to FHWA for review.
- The Draft Tier I EIS will be prepared per the comments received on the Administrative Draft Tier 1 EIS and will be resubmitted for review by ADOT to ensure all revisions were made according to comments received.
- With ADOT concurrence, the Draft Tier I EIS will be submitted for FHWA review, including legal sufficiency review. The Draft Tier I EIS will be revised per the comments received and resubmitted for ADOT approval and FHWA approval and signature.
- A Notice of Availability for the Draft Tier 1 EIS will be prepared by the consultant for ADOT and FHWA review. ADOT will prepare, and FHWA will concur with, a list of agencies to be provided with copies of the Draft Tier I EIS. Copies of the document will be printed and distributed to those agencies and other parties requesting copies.
- An Administrative Final Tier I EIS will be prepared based upon comments received and will include responses to comments received on the Draft Tier I EIS. It will be submitted for review by ADOT.
- The Administrative Final Tier I EIS will be revised per comments received from ADOT then submitted to FHWA for review.
- A Final Tier I EIS will be prepared based on the comments received on the Administrative Final Tier 1 EIS and submitted for review by the ADOT to ensure all revisions were made according to comments received. With ADOT concurrence, the Final Tier I EIS will be submitted for FHWA review, including legal sufficiency review. The Final Tier I EIS will be revised per the comments received and resubmitted for ADOT approval and FHWA approval and signature.
- The consultant will prepare a draft Notice of Availability of the Final Tier I EIS and submit it for ADOT and FHWA review and approval prior to its publication in the Federal Register and local newspapers.
- A Record of Decision (ROD) will be prepared and reviewed by ADOT and FHWA, including FHWA legal sufficiency review, then revised per comments received.
   ADOT and FHWA will determine whether this document will be prepared

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concurrently with the Final Tier 1 EIS or as a stand-alone document after the Final Tier 1 EIS has been approved.

Cooperating federal agencies and participating agencies will participate in document reviews as determined by ADOT and FHWA.

### 6.2 EIS Introductory and Supporting Sections

Introductory and supporting sections to be prepared will include, but not be limited to, a document cover, a title page with abstract, a table of contents, a list of acronyms and abbreviations, a summary, a list of assisting parties, plus a distribution list, as appropriate. All appropriate federal and state project identification numbers, dates, and contact information will be included in the Tier I EIS.

### **6.3 Summary Preparation**

A summary chapter for the Tier I EIS will be prepared following completion of the main chapters of the document and prior to submittal of the Administrative Draft Tier I EIS for ADOT review.

#### 6.4 Project Purpose and Need

A purpose and need statement was developed as part of the I-11 IWCS. This statement will be revisited early in the Project to determine appropriateness and documented in a purpose and need memorandum. Upon consensus and approval of ADOT and FHWA, the memorandum will be distributed for review by the cooperating and participating agencies. Comments received will be resolved by ADOT with the commenting agency prior to preparation of the purpose and need chapter of the Administrative Draft Tier I EIS.

#### 6.5 Notice of Intent

A Notice of Intent to prepare a Tier I EIS, as required under NEPA, will be drafted for review and approval by ADOT and FHWA prior to its publication in the *Federal Register*.

## 6.6 Scoping

Agency and public scoping meetings will be conducted early in the NEPA process to identify issues that may require detailed study and inform the scope of the Tier I EIS. Following these meetings, a report will be prepared to document the meeting process, the comments received/issues identified, and the responses provided.

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### 6.7 Description of Alternatives

Using conceptual engineering information developed as part of the Project, descriptions of a No-Action alternative and build corridors will be prepared. The chapter also will include a description of the conceptual engineering process and an explanation of why corridors were retained for or eliminated from further consideration, based on engineering constraints.

## 6.8 Description of Affected Environment and Analysis of Environmental Impacts

The description of the existing environment for the study area will be prepared, based on baseline information contained in discipline technical reports and information provided by cooperating and participating agencies, stakeholders, and the public.

The effects of the corridors on the environment will be analyzed and documented in this chapter. The level of analysis will correspond with the significance of the effects at a programmatic level and guidance derived through the scoping process, including the results of the implementation of INVEST.

All data gathering and analysis is anticipated to rely upon readily available literature and database information. While extensive field investigations are not anticipated, windshield surveys may be necessary at the discretion of ADOT and FHWA. Major natural, physical, and built environment impacts of three (3) build corridors and the No-Action Alternative will be assumed for each SIU. The following guidance is provided for the anticipated level of analysis. The findings for each resource will be documented in the Administrative Draft Tier 1 EIS.

#### **6.8.1** Land Use

The consultant will describe existing and planned land uses from existing data and information provided by state and federal land management agencies, regional planning agencies, local governments and stakeholders. Data to be provided will include but not be limited to resource management plans, special area management plans, general plans, regional transportation plans, transportation improvement plans, zoning plans, labeled aerial photography, and subdivision plats in addition to any applicable surveys. The effects of the No Action Alternative, and the build corridors will be characterized in light of loss of land use, land use trends, and plans and policies within the Study Area. While extensive field investigations are not anticipated, windshield surveys may be the necessary at the discretion of ADOT and FHWA.

An inventory will be prepared of all parklands and areas of special designation (including but not limited to wilderness/preservation areas, wilderness study areas, areas of critical

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environmental concern, national monuments, wild and scenic rivers, national historic trails, national scenic trails, off-highway vehicle areas, and areas designated as non-motorized areas) that exist within the proposed corridors. Direct and indirect impacts on parklands and special designation areas will be addressed qualitatively.

## 6.8.2 Social and Environmental Justice

A profile of existing social conditions will be developed using data from existing literature and information resulting from implementation of the POIP.

General socio-economic characteristics and public services and amenities affected by the Project will be described. The primary method for determining direct and indirect impacts will be qualitative and will address physical (land use changes), social (business/residential relocations), economic (employment), aesthetic impacts, land use change/compatibility, social disruption, housing availability, agriculture/prime farmland, and accessibility.

Additionally, the requirements of Title VI of the Civil Rights Act of 1964 and Executive Order 12898 will be addressed. Basis of analysis will be readily available census data.

#### 6.8.3 Economic Impact Analysis

The determination of economic impacts will involve the development of a cost-benefit analysis of the proposed corridors compared with the No-Action Alternative. Utilizing the Business Case developed as part of the I-11 IWCS as a baseline, the below data and analysis will be used to perform an appropriate cost-benefit analysis.

Data collection will involve the compilation and review of the following:

- Recent traffic data generated by the travel demand models developed by ADOT, MAG, and PAG, including delay cost and travel time savings;
- Accident data, including the number of vehicular fatalities, injuries, and accidents along existing roadways within the Study Area;
- Economic and land development projections;
- Capital cost estimates for the corridors from the ASR;
- Operations and maintenance cost estimates for the corridors from the ASR;
- ADOT and MPO short and long-range transportation plans; and
- Investment studies for the corridor.

For each alternative, the economic analysis must:

• Evaluate the effects both during construction and post-construction

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- Determine the current, formally identified and informally used, truck routes; including significant freight origins and destinations
- Identify existing and projected effects to traffic and business resulting from tourism
- Address the potential economic effects to existing businesses both during and after construction
- Provide a sustainable return on investment analysis that would adequately capture and analyze the total investment, not just the financial impacts but the benefits and costs associated with environmental and social impacts. The environmental and social impacts analysis will build off the findings of INVEST as well as the public and agency outreach.

### 6.8.4 Macroeconomic Impacts Analysis

This analysis will determine the changing patterns of development or industrial composition that are not readily found by historical trends. It will provide qualitative assessments and quantitative estimates of potential changes in economic output, employment, and income as a result of this Project. The forecast horizon for the macroeconomic analysis is 25 years (assuming a design year of 2040). The macroeconomic impacts analysis will also address how the facility's linkage of moving goods (freight) will impact the state of Arizona as a whole, as well as how the Project will impact the economy at a national and international level. The consultant will utilize available reports, analyses, and information developed by congress and other federal agencies to perform such macroeconomic analysis, noting any dissimilarity of data.

### 6.8.5 Air Quality

Coordination will be maintained with the Arizona Department of Environmental Quality (ADEQ) and ADOT to ensure all current air quality requirements are accurately addressed. Project consistency with the ADOT Long Range Transportation Plan (LRTP), and applicable Metropolitan Transportation Improvement Programs (MTIP) will be assessed. Ambient air quality will be evaluated based on existing local ambient air quality data sources. Construction emissions associated with the Project will be qualitatively assessed based on the type of construction vehicles used and knowledge of typical construction practices on similar projects. Proposed Project operations will be evaluated qualitatively to assess potential regional and local beneficial effects from the proposed Project on ambient air quality. In addition, a Project of Local Air Quality Concern questionnaire will be completed to determine the need for future interagency consultation regarding hot-spot particulate emissions analysis.

The Project will not require a regional conformity analysis for the Maricopa County nonattainment area for ozone and carbon monoxide.

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#### 6.8.6 Noise and Vibration

A qualitative noise and vibration assessment will be conducted to generally characterize potential noise and vibration impacts. Build alternatives which propose rail facilities will reference applicable Federal Railroad Administration/Federal Transit Administration screening guidelines.

#### 6.8.7 Hazardous Materials

A regulatory database search will be conducted for the Study Area to determine the presence of hazardous material sites. This search will be supplemented by a review of available Project reports for the Study Area. Federal, state, local, and facility records will be evaluated for environmentally significant information about documented facilities or incidents within the approximate minimum search distance established by the environmental professional, in accordance with the ASTM E 1527-05 standard.

## 6.8.8 Geology, Soils, and Prime Farmlands

The geology, soils, and prime farmland within the Study Area will be identified, evaluated, and documented. Existing geological information and soil maps will be collected to develop a detailed description of existing conditions for a comparison of impacts. Information will include published data from the U.S. Geological Survey. Prime and unique farmlands as defined under the Farmlands Policy Protection Act will be identified using Natural Resources Conservation Service information. Completion and submission of AD 1006 Forms in compliance with the FPPA will not be part of the Tier I EIS and will be deferred to future NEPA documentation.

#### 6.8.9 Biological Resources

The collection and evaluation of information will be supported by tabular and graphical data, geographic maps, and other ancillary information. The results of the investigations will be used to prepare appropriate sections of the environmental document.

#### 6.8.9.1 Vegetation and Wildlife Habitat

Literature will be reviewed to identify the existing condition of wildlife habitat within the Study Area. Regional vegetation communities will be described and site specific dominant vegetation will be identified using available aerial photography to map sensitive habitat types. Limited site visits will be conducted in areas determined to be potentially sensitive. Arizona Fish and Game Department (AGFD) will also be contacted to assist in the identification of areas of concern to be included in the analysis. The environmental impact on vegetation and wildlife habitat will be evaluated and documented. Previous coordination with the AGFD, Bureau of Land Management, the US Fish and Wildlife Service (USFWS), Sonoran Institute, and other biological agencies and stakeholders-as documented in the Planning and Environmental Linkages document-shall be incorporated into the Tier

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1 EIS. All appropriate agencies and stakeholders will be involved at appropriate stages throughout the Tier 1 EIS process.

### 6.8.9.2 Threatened and Endangered Species

County occurrence and specific locality occurrence data within the Study Area will be acquired from the USFWS and AGFD databases. This data will be reviewed to identify any previously documented occurrences for species or their preferred or critical habitats.

Available literature, aerial photography, and other data as provided by others will be reviewed to determine the presence of suitable habitat for potentially occurring threatened or endangered species (TES). Presence/absence surveys and species-specific protocol surveys for TES are not included in this scope of work. Endangered Species Act Section 7 consultation or other permitting for threatened and endangered species is not included in the Tier I analysis. The identification of critical habitat will be based on the literature and desktop reviews. A determination will be made concerning federal/state listed endangered or threatened species that could be affected.

Assessments for protected species or for habitat of protected species shall include:

- All species listed by the USFWS as threatened or endangered or proposed for listing as threatened or endangered (50 CFR 17.11-12);
- All species that are candidates for review for listing by USFWS as threatened or endangered (per most recently updated list in Federal Register);
- Species listed as TES by AGFD (State of Arizona TES Listings, AGFD); and
- Species protected by the Migratory Bird Treaty Act (50 CFR 10.13).

#### 6.8.10 Waters of the United States

Potential Waters of the United States (Waters), including wetlands, will be identified using National Wetland Inventory maps and current aerial photography. While extensive field investigations are not anticipated, windshield surveys may be necessary at the discretion of ADOT and FHWA.

A desktop analysis will be performed to identify impacts to Waters within 0.25 mile of each Action Alternative. Impacts to waters (including wetlands) subject to USACE jurisdiction will be determined quantitatively using digital coordinates and GIS-supported mapping, and the locations of the impacts will be illustrated on a GIS-produced map.

Acreages of potentially impacted Waters will be determined by estimating ordinary high water mark of potential Waters. The findings will be documented in the Administrative Draft Tier I EIS.

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A conceptual mitigation plan will be included in the Administrative Draft Tier I EIS. This plan will discuss the practicability of various types of mitigation, such as restoration, enhancement, creation, banking, as well as potential mitigation ratios.

#### 6.8.11 Water Quality

Stream crossings, river networks, adjacent major water bodies and watershed basins will be identified for the purposes of water quality management. A review of state water quality inventories will determine if the Project will discharge to known unique or impaired waters and unlisted tributaries within five (5) miles upstream of listed waters. If discharges are possible, a list of the waterway segment number and name will be prepared. Pollutant(s) in the discharge for which the water body is listed will be identified, and Best Management Practices will be identified for use, particularly at the discharge point to the water body, to meet water quality regulations.

Typical information provided for individual water segments will include its water body description, classification, type, length, uses, standards not met, and concerns.

## A desktop analysis will:

- Evaluate the general water quality characteristics of each stream reach along the corridors. Describe the proximity of each stream segment to the individual corridors and summarize the existing conditions of each stream reach.
- Evaluate the general water quality issues related to groundwater along the corridors. Discuss issues related to groundwater quality and protection, in relation to construction along the corridors.
- Identify water wells that would be impacted by the proposed corridors from state databases.
- Identify potential impacts of the alternatives on surface and groundwater.

The results of the analysis will be presented in the Administrative Draft Tier I EIS and will include necessary exhibits developed from ArcMap GIS shape files of surface water characteristics and groundwater zones. The discussion will address: legal and regulatory context related to the water quality certification as part of Sections 401 and 404 of the Clean Water Act; a discussion of Pollutant Discharge Elimination System requirements; existing conditions; long-term effects from construction associated with water quality; short-term effects on water quality from construction activities; and a discussion of mitigation efforts required as a result of construction.

#### 6.8.12 Flood Hazard Evaluation and Floodplain Management

The existing 100-year floodplain(s), as designated by the Federal Emergency Management Agency (FEMA), will be identified and portrayed on appropriate maps. A desktop analysis

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will be performed to describe potential impacts of alternatives on floodplains using hydrological and engineering information in accordance with 23 CFR Subpart 650A.

Documentation of the analysis in the Administrative Draft Tier I EIS will:

- Identify the presence and nature (e.g., zone A, zone AE, zone AE with floodway) of any FEMA mapped floodplains.
- Indicate the existence of any significant development associated with the mapped area.
- Identify the number of locations where an alternative will encroach on the base (100-year) floodplain and where an alternative will support incompatible floodplain development.
- Include a list of all jurisdictions having control over floodplains for each alternative.

The Administrative Draft Tier I EIS will include exhibits which display the alternatives, the base floodplains and, where applicable, the regulatory floodplains.

For each alternative encroaching on a designated or proposed regulatory floodplain, the Administrative Draft Tier I EIS shall provide a preliminary indication of whether the encroachment would be consistent with or require a revision to the regulatory floodplain.

#### 6.8.13 Visual and Aesthetic Scenic Resources

The visual and aesthetics scenic resources (VASR) will be defined for the Study Area and an analysis of the effects will be conducted.

The visual impact assessment will:

- Define the existing VASR of the Study Area by landscape unit, and its quality.
- Identify the Project viewing audience and their views that are likely to be affected by the alternatives.
- Identify community goals for visual quality.
- Identify visual landmarks or vistas of regional importance seen within or from the Study Area.
- Determine if the Project would degrade existing VASR by introducing new incompatible elements into the visual character of the Study Area.
- Review design drawings of the Project to help predict the alternatives' effects, if any.
- Coordinate with the appropriate land managing agencies within the Study Area to determine if there are any Visual Resource Management Plans and what requirements would be needed for NEPA documents following the Tier 1 EIS.

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 Identify standard mitigation measures to alleviate negative effects of the Project on visual resources, including measures developed for other environmental resources, such as cultural or natural biological resources, that could improve the visual and aesthetic quality of the Project.

The visual resource inventory and photo documentation will be conducted through a fiveday site reconnaissance; an in-office review of internet sources, Project maps and aerial photographs; and through coordination with other resource specialists. Key viewer groups and community values for VASR will be identified through a review of appropriate land use plans and issues identified during the scoping and public involvement processes.

Long term effects on VASR will be considered along with short term effects such as temporary construction activities. The effect of each alternative will be evaluated based on the alternative's conformance with community values for visual resources, the predicted response by viewer groups, and the degradation of existing visual quality.

### 6.8.14 Transportation

The effects of the alternatives on all modes of transportation, including both passenger and freight movements, will be evaluated at the local, regional, national, and international (e.g., North American Free Trade Act) level. The discussion will address vehicular traffic congestion impacts both during the construction-period and over the long term following Project completion.

### 6.8.15 Sections 4(f) and 6(f) and Recreation

Project impacts on publicly-owned park and recreational land, including hiking and bicycle trails, and historical lands and other lands afforded protection under Section 4(f) and Section 6(f) of the Department of the Transportation Act will be generally discussed for each alternative. A desktop review of available aerial photography and local land use plans will provide the baseline information needed to map all resources potentially afforded this protection. The Section 4(f) and 6(f) evaluation in the Tier I EIS will be limited to identifying and comparing the number of 4(f) and 6(f) properties potentially impacted by the alternatives. The evaluation of potential feasible and prudent avoidance alternatives, analysis to determine direct or constructive use, and identification of measures to minimize harm will be deferred to the next level of NEPA documents.

### 6.8.16 Historical, Archaeological, Architectural, or Cultural Resources

Cultural resources investigations will be conducted following the applicable state, federal, and municipal standards for collecting and evaluating information for the environmental document in sufficient detail to provide NEPA compliance and compliance with Section 106 of the National Historic Preservation Act (36 CFR Part 800). Cultural resources

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investigations are also important for the identification of Section 4(f) properties as defined in the Department of Transportation Act (23 CFR §771).

Land jurisdictions within the Study Area will be determined in order to identify repositories to be researched for a site literature review/record search (record search), to identify potential consulting parties in the Section 106 process, and to ascertain applicable permitting requirements, standards, and policies. In addition, Native American tribes claiming cultural affiliation within the Study Area will be identified. Early draft Section 106 consultation letters will be prepared during the Conceptual Engineering phase. The letters will describe the proposed undertaking and the efforts being made to identify and evaluate historic properties, identify the studies that are being completed, and will invite agencies and tribes to participate in the consultation process. The letter will also solicit input regarding cultural resources concerns.

A record search will be conducted for cultural resources within the Study Area; i.e., a .25-mile radius surrounding each alternative. The record search will identify previously recorded cultural resource sites and previously conducted cultural resource surveys. The following repositories will be checked:

Arizona State Museum (ASM)/AZSITE on-line database,

- Arizona State Historic Preservation Office (SHPO) (including the National Register of Historic Places [NRHP] database),
- Gila River Indian Community,
- Ak Chin Indian Community,
- ADOT Historic Preservation Portal and ADOT Bridge Records, and
- Bureau of Land Management (BLM) General Land Office (GLO) maps and BLM Phoenix and Gila District offices.

Historic research would also include previous studies, local historical societies, city historic preservation offices for cities that are Certified Local Governments, city planning departments, state archives, and county assessor and on-line Sanborn Fire Insurance maps.

Record search results will be put into separate tables for previous surveys and previously recorded sites and will be plotted on USGS 7.5 minute topographic maps using GIS. While extensive field investigations are not anticipated, specific field surveys may be necessary at the discretion of ADOT and FHWA

Results from the literature search and a comparison of the number of potentially impacted properties per Action Alternative will be provided in a report. The draft report will be provided to ADOT and FHWA for review and comment. The report will be revised in

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accordance with comments from these agencies, and a revised draft report will be provided for Section 106 consultation with other agencies and tribes.

Results of all cultural resources coordination will be incorporated into the Administrative Draft Tier 1 EIS. Because this Project involves multiple agencies and is likely to result in adverse effects to historic properties, a programmatic agreement (PA) will be developed to identify a standard process for identification, evaluation, and mitigation of historic properties

The identification of historic properties/sites in the Study Area will be limited to a review of existing data sources. The Historic Resources analysis will be conducted through the following subtasks:

- Coordinate among the Project Team, FRA, FTA, and the SHPO to establish the area of potential effects (APE) for three Action Alternatives.
- Conduct windshield surveys of the alternative APEs to identify potential historic properties not previously identified in previous inventories/surveys.
- Determine the likelihood of impacts (high, moderate, low) of the alternatives on these resources.

The results of the analysis will be presented in the Administrative Draft Tier I EIS. A separate technical report is not required.

### 6.8.17 Unavoidable Adverse Impacts

This will include a summary of unavoidable adverse impacts for each alternative and a description of planned mitigation measures to minimize those adverse impacts. This will specifically address:

- Construction period
- Short-term impacts
- Long-term impacts
- Mitigation measures
- Summary of any irreversible or irretrievable commitment of resources
- Identification of any future options that may be foreclosed by any of the alternatives

#### 6.8.18 Indirect and Cumulative Effects

Data collection and analysis of potential indirect and cumulative impacts associated with the alternatives will be identified, through research and consultations, of federal, nonfederal, and private actions that may be influenced by the proposed action and may have effects on land use, natural resources, ecosystems, and human communities.

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The consultant should utilize scoping as an opportunity to identify potentially substantial issues, set appropriate boundaries for the analysis, and identify relevant reasonably foreseeable future actions. Scoping of the indirect effects analysis will be coordinated with other discipline tasks for the Project. The goals of the scoping step would be to determine the level of effort and approach required to complete the analysis, and to determine the location and extent of the indirect effects area of influence. Determining the level of effort and approach begins with the collection of pertinent data, consistent with the "best available data" standard and involves coordination and concurrence with the appropriate review agencies.

A key component of the indirect and cumulative effects analysis is identification developments. Data collection, including interviews with planners and development experts, will focus on specifically identified planned developments within the study corridor, as well as potential future developments, which are not named but are still reasonably foreseeable. These projects will be analyzed with respect to location, type and purpose, scale, stage of development, setting, and notable design features. The identification of an appropriate area of influence will consider political or geographic boundaries, watershed and ecological boundaries, and transportation-related ("commutershed") boundaries.

### 6.8.19 Compilation of Permits, Licenses, and Approvals

A list of all applicable federal, state, and local permits, licenses, and approvals required to implement any of the alternatives will be developed and documented in the Administrative Draft Tier I EIS in tabular form.

#### 6.9 Administrative Record

The consultant will develop and maintain the Project files system in a manner conducive to creating the Administrative Record. A draft approach will be prepared for ADOT and FHWA review and approval. A record of the Project file contents must be available for ADOT and/or FHWA review throughout the life of the Project, as requested. The Administrative Record must be available within 30 days following the issuance of the ROD.

### **6.10 Record of Decision Support**

A ROD will be prepared and reviewed by ADOT and FHWA, including FHWA legal sufficiency review, then revised per comments received. ADOT and FHWA will determine whether this document will be prepared concurrently with the Final Tier 1 EIS or as a stand-alone document after the Final Tier 1 EIS has been approved.

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## **7 COST ESTIMATE**

The purpose of this task is to develop a detailed capital cost estimate for the alternatives defined for the Tier 1 EIS analysis. The consultant will prepare a Capital Cost Estimate Results Report that presents the results of the capital cost estimates for each alternative. Costs must be reported using ADOT standard cost categories, as appropriate.

Capital cost estimates will be presented in current year US Dollars and will be developed for opening year (2020), interim year (2040) and Long-Range Future. The estimates will be prepared using standardized unit prices from the System Plan and will utilize current industry unit prices.

#### **ATTACHMENT A**

#### LABOR CLASSIFICATIONS FOR PROPOSED CONTRACT

In an attempt to standardize the Labor Classifications ADOT allows for all projects, the following classifications anticipated to be used for the proposed contract are as follows:

Administrative

**Project Administrator** 

**CADD** Technician

Cost Estimator

Cost Estimator-Sr.

Designer

Designer-Sr.

Engineer

Engineer-Sr.

**Project Engineer** 

Project Engineer-Sr.

GIS Analyst/Technician

GIS Analyst/Technician-Sr.

Graphic Designer

Project Principal

Project Manager

Project Manager-Sr.

Transportation Planner

Transportation Planner-Sr.

Air Quality Specialist

**Biologist** 

Cultural Resource/Archaeological Technician

Environmental Coordinator/Program Manager

Associate Environmental Planner/Scientist

**Environmental Planner/Scientist** 

Environmental Planner/Scientist-Sr.

HazMat Specialist

Noise Specialist

Aerial Photographer

Registered Land Surveyor

Survey Technician

Survey Party Chief

**NOTE:** All Labor Classifications that require professional registration shall be currently registered with the Arizona Board of Technical Registration.